



Policy Owner: Director Corporate Services

Policy Category: Operational

Direction: 5. Our Civic Leadership

1. STATEMENT OF INTENT

- 1.1 Records are key assets in informing work undertaken by North Sydney Council, supporting effective decision making and enabling more efficient service delivery. Council have a range of requirements relating to the effective management of its records and information, including legislative, business and community requirements.

While there are often recordkeeping requirements under broader legislation Council is required to adhere to, the core source of legislative recordkeeping requirements is the *State Records Act 1998*. Under the *State Records Act 1998* Council is required to:

- a) make and keep records that fully and accurately document their operations and administration,
- b) establish and maintain a records management program in conformity with standards and codes of best practice approved by NSW State Archives and Records,
- c) ensure that records are stored in conditions appropriate to their format and preservation requirements, and
- d) ensure that records held in digital or other technology dependent formats are accessible for as long as they required.

- 1.2 The Policy seeks to enable and ensure effective management of Council's record information assets by:

- a) detailing principles for creation, capture and management of records as information assets, including associated requirements or activities
- b) clearly articulating roles and responsibilities for creation, capture and management of records as information assets

2. ELIGIBILITY

- 2.1 This policy applies to all Councillors, committee members, employees and others acting on behalf of Council including contractors and volunteers.

- 2.2 This policy applies to all record information assets created, received or maintained by Council.

3. DEFINITIONS

- 3.1 Access - right, opportunity, means of finding, using, or retrieving information.
- 3.2 Business System - organised collection of hardware, software, supplies, policies, procedures and people, which stores, processes and provides access to an organisation's business information assets. See also Electronic document and records management system (EDRMS).
- 3.3 Capture - a deliberate action which results in the registration of a record into a recordkeeping system. Capture involves:
- a) assigning a unique identifier (either machine generated and readable, or human readable);
 - b) capture or generation of metadata about the record at the point of capture; and
 - c) creation of relationships between the records, agents or business.
- 3.4 Disposal - range of processes associated with implementing records retention, destruction or transfer decisions which are documented in disposition authorities or other instruments.
- 3.5 Disposal Authority - documents authorised by the Board of the State Archives and Records Authority of New South Wales that set out appropriate retention periods for classes of records.
- 3.6 Electronic Document and Records Management System (EDRMS) - an automated software application designed to facilitate the creation, management, use, storage and disposal of a range of both physical and digital documents and records. Essentially it manages unstructured records and information. An EDRMS may also automate business processes such as workflows and approvals and be integrated with other business systems. Council's EDRMS is ECM.
- 3.7 Evidence - proof of a business transaction. Not limited to the legal sense of the term.
- 3.8 Information Assets - information, records and data created, sent, received, and maintained by Council as evidence of business transactions and in pursuance of legal obligations.

- 3.9 Metadata - structured or semi-structured information which describes information assets and enables the creation, management and use of information assets through time and within and across domains.
- 3.10 Record - see Information Assets.
- 3.11 Records Management - the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.
- 3.12 Retention - keeping information assets in line with Records Authorities for defined periods of time (e.g. destroy seven years after last action, or Retain as State Archives).
- 3.13 Senior Responsible Officer - the Standard on records management requires each public office to have a designated Senior Responsible Officer (SRO) for records management. Each public office should advise NSW State Archives and Records of their organisation's SRO and keep NSW State Archives and Records updated with any changes to personnel undertaking this role.
- 3.14 Sentencing - the process of identifying and classifying records according to a retention and disposal authority and applying the disposal action specified in it.

4. PROVISIONS

- 4.1 The creation, capture and management of Council records and information is guided by the principles described in sections 4.2 to 4.5.
- 4.2 Principle 1: Complete and accurate records and information are created and/or received as evidence of Council business.
- a) Records and information needed to meet or support business and recordkeeping requirements, including accountability and community expectations, are identified.
 - b) Full and accurate records and information are routinely and consistently created and /or received and captured in line with relevant internal Policy, guidelines and procedures.
 - c) Records and information are captured into Council's EDRMS or other approved business systems as evidence of Council activities.
 - d) Staff are made aware of their records and information management responsibilities, and are provided support in carrying out their responsibilities.

- e) Records and information management activities are monitored and reviewed to ensure they are consistent with recordkeeping requirements.

4.3 Principle 2: Records and information are valued as a trusted and reliable organisational asset.

- a) Records and information are identified as key organisational assets in relevant internal Policy, guidelines and procedures which are consistent with legislative and business requirements.
- b) Policies, guidelines and procedures relating to the creation, capture and management of records are regularly reviewed and updated as required, and made available to staff.
- c) Requirements for managing records and information are clearly identified, and appropriate resourcing provided to support their efficient and effective management across all environments (including systems and physical repositories).
- d) Records and information accurately reflect the business activities they provide evidence of.
- e) High-risk and high-value records are identified and appropriate governance controls applied to ensure they are protected over time.
- f) Risks to records and information are identified, and appropriate action taken to mitigate or remediate risks.

4.4 Principle 3: Records and information are effectively and securely managed over time.

- a) Governance controls are implemented in Council's EDRMS and other approved business systems to ensure records and information are protected across environments.
- b) Systems are tested or audited to ensure that systems are operating routinely and that there are no issues affecting records and information integrity, useability or accessibility.
- c) Records and information are protected against internal and external threats, unauthorised access, use, modification, deletion, alteration or disclosure.
- d) Internal access to records and information is role-based, with appropriate controls put in place to safeguard and protect sensitive records and information.
- e) External access to records and information is governed by the *Access to Information Policy*.
- f) Records and information are stored securely, where possible, in sustainable and interoperable file formats.
- g) Records and information are sustained over time through technology changes, and are migrated as required to support ongoing access and use (including decommissioning of systems).

-
- h) Long-term records and information are identified and appropriate strategies put in place to support physical and digital preservation
 - i) Records and information are sentenced and retained in line with relevant NSW State Records and Archives Authority disposal authority instruments, and are routinely and defensibly destroyed or transferred when appropriate.
 - j) Where records and information are located in outsourced storage, such as cloud platforms, appropriate arrangements are in place to ensure records and information are appropriately protected and remain accessible to Council.
- 4.5 Principle 4: Information assets are used and reused to support efficient operations and enable effective service delivery.
- a) Records and information are assigned relevant and accurate metadata to support their discovery, use and reuse.
 - b) Records and information are used to support planning, decision making, resource allocation, reporting, communications, and business activities.
 - c) Records and information are made available and shared responsibly internally to derive maximum value.

5. RESPONSIBILITY/ACCOUNTABILITY

- 5.1 Executive Management are responsible for:
- a) ensuring compliance with requirements of the *State Records Act 1998*, and associated regulations and standards, per Chief Executive responsibilities outlined in Section 10 of the Act.
 - b) championing and providing sufficient strategic direction and support for governance of records as information assets.
 - c) ensuring sufficient resourcing is available to support effective governance of records as information assets.
 - d) supporting identification and mitigation or remediation of risks to records as information assets.
 - e) promoting and supporting a positive records and information management culture.
- 5.2 The Senior Responsible Officer (SRO) role, fulfilled by the Manager Customer Service and Records, is responsible for:
- a) ensuring this Policy is routinely reviewed and updated as required.
 - b) ensuring that procedures, guidelines and training supporting this Policy are regularly reviewed and updated as required.
 - c) ensuring that appropriate records management strategies are developed, reviewed and implemented.

- d) overseeing records and information management activities.
- e) ensuring that staff with appropriate records and information management skills are available to support implementation of strategic and operational records and information management activities.
- f) ensuring all staff receive training appropriate to their position on records and information management responsibilities and EDRMS use.
- g) carry out or support liaison with internal stakeholders to identify opportunities for improvements in records and information management practices.
- h) supporting identification and mitigation or remediation of risks to records as information assets.
- i) overseeing monitoring and review of records and information management activities, and compliance with this Policy and legislative recordkeeping requirements.
- j) overseeing and authorising disposal of Council records.
- k) reporting on records and information management activities as required.

5.3 The Information Governance Committee is responsible for:

- a) reviewing and endorsing records and information management Policy and guideline documents.
- b) supporting development and review of records and information management strategies.
- c) carrying out, or supporting, identification of improvements to records and information management practices.

5.4 The Procurement Panel is responsible for:

- a) ensuring that proposed new systems, cloud platforms or other arrangements for outsourced storage of Council records are assessed against records and information management requirements.

5.5 The Records Management Team (DMS) is responsible for:

- a) providing strategic and operational support for records and information management activities.
- b) providing operational support for Council's EDRMS, including identification of appropriate access to records.
- c) contributing to development and review of records and information management Policy, procedures, guidelines and training.
- d) delivering records and information management training, including training related to use of Council's EDRMS.
- e) liaising with internal stakeholders to identify opportunities for improvements in records and information management practices.
- f) carrying out, or providing support for, sentencing and disposal of Council records in line with approved disposal authorities.

- g) monitoring adherence to this Policy and supporting guidelines and procedures.
- h) monitoring and contributing to reporting on Council adherence with legislative recordkeeping obligations.
- i) contributing to a positive records and information management culture, and building awareness of records and information management responsibilities.

5.6 The Information Technology Department is responsible for:

- a) providing technical support and implementing technical governance controls to protect Council records, include access controls.
- b) providing technical support for migration of records and information between systems and file formats, and other digital preservation activities.

5.7 Managers and Supervisors are responsible for:

- a) modelling good records and information management practices.
- b) fostering a team culture that supports effective creation, use and management of records and information.
- c) ensuring good records and information management practices are built into business processes.
- d) supporting staff in understanding and adhering to their responsibilities as outlined in this Policy and related guidelines and procedures.
- e) considering records and information management risks when carrying out decision making and service delivery.

5.8 Information Asset or System Owners are responsible for:

- a) liaising with Information Technology and Customer Service & Records Departments to gain advice or support for effective management of records and information.
- b) ensuring owned records are not disposed of without authorisation.
- c) ensuring owned systems are configured to meet, where possible, recordkeeping requirements.

5.9 All Staff are responsible for:

- a) creating and keeping full and accurate records relating to work activities carried out.
- b) capturing records into Council's EDRMS or other approved business systems.
- c) understanding and adhering to responsibilities for records and information management.

6. RELATED POLICIES/DOCUMENTS/LEGISLATION

The Policy should be read in conjunction with the following Council policies and documents:

- Access to Information Policy
- Information Governance Framework
- Information Security Policy (staff policy)
- Enterprise Risk Management Policy
- Privacy Management Plan
- Records Management Strategy

The Policy should be read in conjunction with the following documents/legislation:

- State Records Act 1998
- State Records Regulation 2015

Version	Date Approved	Approved by	Resolution No.	Review Date
1	6 October 2021	General Manager	MANEX	2021/22